

**EZ LSTA PROJECT PLANNING GRANT
2007-2008 / Mid-year Cycle
Information & Guidelines**

1. PROGRAM-SPECIFIC INFORMATION & GUIDELINES

1.1. What is this grant program and its purpose?

This grant program is designed to aid libraries that wish to develop plans, evaluate the viability of a concept, and/or complete preliminary activities that enable them to prepare applications for specific LSTA grant programs. Libraries that apply for an LSTA Project Planning Grant must be eligible to apply for the grant program for which they will plan. The ultimate services or resources for which the library is planning must be consistent with the library's mission and strategic plans.

Eligible grant programs are listed here and full guidelines are available on the State Library's web site at <<http://statelibrary.dcr.state.nc.us/2008-2009Grants.htm>>.

- Library Outreach Services Grants;
- NC ECHO Digitization Grants; and
- Technology Grants.

Examples of the types of activities that can be supported with this grant for project planning include:

- community needs assessments to assist in planning outreach projects to targeted audiences;
- building collaborative partnerships and developing project plans; and
- assessing archival and special collections and creating plans for digitizing them.

This grant program supports several outcomes in the *Library Services & Technology Act Plan for Implementation in North Carolina – 2003-2007* (<http://statelibrary.dcr.state.nc.us/lsta/plan2003-07.pdf>).

1.2. Why is the State Library offering these grants?

Planning successful applications for some of North Carolina's LSTA grant programs requires substantial preliminary work. In addition, multiyear projects may require more planning and preparation than a single year grant.

These LSTA Project Planning Grants are designed to provide financial assistance to libraries that wish to carry out activities to develop well-conceived project plans. Here is some background to help understand why these LSTA Project Planning Grants can be helpful:

- The Library Outreach Services Grants require that a library develop proposed services based on the results of needs assessment and planning efforts that involve the target audience. These activities require time, and a needs assessment requires expertise. Having assistance in these efforts can result in a much more effective and competitive grant project plan. [An LSTA Project Planning Grant is not a prerequisite for a Library Outreach Services Grant, but the needs assessment must be done prior to applying for Library Outreach Services funding.]

- Libraries and other agencies that wish to work together on a collaborative NC ECHO project can benefit from the time spent assessing collections and determining the resources and expertise that each “brings to the table.” Consulting assistance can help the partners in this process, as can other resources.
Libraries planning for an NC ECHO Digitization Grant should use the project planning grant to address both content and process.
- Encouraging libraries to develop new collaborative relationships among libraries as well as between libraries and other organizations in the community is a high priority of North Carolina's LSTA program. The goal is to create a strong infrastructure of understanding, shared goals, and healthy working relationships among all types of libraries as well as an expanded, more visible role for those libraries in the communities they serve.

In emphasizing collaboration, North Carolina's LSTA program aims to foster true partnerships between organizations that have a strong commitment to shared goals. Building effective partnerships is a challenging process. One of the purposes of these planning grants is to support efforts by libraries to engage other libraries and community agencies in a planning process that results in a true, effective collaboration.

- Multiyear projects are an option in two grant categories for which a library may plan using this LSTA Project Planning Grant. Libraries expecting to propose a multiyear project will generally be well-served to first implement a Project Planning Grant to ensure careful consideration of issues that are likely to affect a longer term project -- especially if partnering with other libraries or institutions.

1.3. What is the schedule for the planning grant and a full grant application?

Libraries that receive Mid-year Cycle 2007-2008 LSTA Project Planning Grants may be able to complete most of their planning activities during spring and summer 2008. They will then be in a position to submit a Letter of Intent for grant funding in Fall 2008. If their Letter of Intent is successful, then they can submit a full application in late February 2009 for a project that, if funded, will begin in July 2009 for the 2009-2010 year.

1.4. Who may apply?

The following libraries are eligible to apply for these grants:

- public libraries that qualify for grants from the Aid to Public Libraries Fund;
- community college libraries;
- libraries serving the constituent institutions of the University of North Carolina (which includes libraries serving the Area Health Education Centers and the North Carolina School of Science and Mathematics);
- libraries serving the member institutions of North Carolina Independent Colleges and Universities;
- public schools with a qualified school library media center*;
- library/media center administrative units of public school districts [A public school district is a local school administrative unit as defined in Chapter 115C of the North Carolina General Statutes.];
- qualified special libraries*;
- qualified state agency libraries*; and
- the State Library of North Carolina.

* In order to be eligible for LSTA funds, a library must meet these basic requirements:

- be at least 51% publicly funded, or not-for-profit;
- be headed by a trained library professional (school libraries must be headed by a full-time certified school media coordinator; all other libraries must be headed by a person with an MLS);
- have a cataloged collection of information resources, designated space, a materials budget, and be open a minimum of 20 hours per week.

Additional requirements exist based on the type of library. See the *Library Services and Technology Act Plan for Implementation in North Carolina 2003-2007*, pages III-2 through III-5, for more information: <http://statelibrary.dcr.state.nc.us/lsta/plan2003-07.pdf>.

IMPORTANT NOTE: The applicant must be eligible to apply for the grant program for which they wish to plan. Read the 2008-2009 information and guidelines (<http://statelibrary.dcr.state.nc.us/lsta/2008-2009Grants.htm>) for pertinent grant programs to determine which libraries and organizations are currently eligible.

An eligible library or organization may submit only one application for an LSTA Project Planning Grant in this round. A “library” is the eligible public library system or academic institution. [i.e., *A public library system is inclusive of all outlets making up that system (e.g. Nantahala Regional Library). An institution is the parent institution of the library (e.g. UNC-Greensboro)*].

Collaborative projects involving more than one library are allowable; however, one of the partner libraries must be the lead library, responsible for accepting and administering the grant funds.

1.5. What amount of funds may be requested?

The maximum amount that may be requested is \$15,000, and the minimum is \$1,000. Any costs above the maximum award are the responsibility of the local library(ies).

1.6. Are local matching funds required?

No local matching funds are required for an LSTA Project Planning Grant.

1.7. How may the grant funds be used?

LSTA Project Planning Grant funds are intended to help libraries pay for activities that will assist them in planning an LSTA project. **Allowable expenditures include:**

- fees for the services of a qualified consultant to help carry out planning activities;
- cost of temporary staff that may be required to assist in the administration of a needs assessment or other information gathering activities;
- supplies and postage;
- meeting costs, including the cost of substitutes for public school library media coordinator or other school personnel participating in any planning effort; and
- travel / mileage expenses.

All proposed expenditures must be justified in the application budget.

Unallowable expenses:

These LSTA grant funds may **not** be used for “overhead” or administrative costs; the cost of entertainment and social events; or the cost to have the grant application written.

In planning for an NC ECHO grant, these grant funds may **not** be used for

- collection development activities, including the identification and acquisition of new materials;
- conventional arrangement, description, and cataloging of source material;
- retrospective conversion of catalog records; or
- preservation activities or materials (reformatting of media, preservation enclosures, etc.).

1.8. What special considerations apply to this grant?

If a library wishes to retain a consultant, that person or firm must be qualified to provide the necessary consulting assistance. A library must provide convincing information in the grant application about the consultant's qualifications and relevant experience. To enable the library to provide this information, any RFP or other solicitation of proposals should elicit the following (as requested in #2B of the Application):

- Name and address of the consulting firm.
- Name and title of each individual in the consulting firm who will carry out the project and the minimum number of hours each will dedicate to the project, and the number of onsite visits that the consulting firm will make.
- Description of the consultant's previous experience and why it makes the person the appropriate choice to assist with your project.
- Information from the proposed consultant that delineates how the costs for services will be calculated, including but not limited to projected hours/days to be worked, fees, travel expenses, and other project related expenditures.

NOTE: To assist libraries in finding a consultant, the State Library maintains a Consultant List. See the list at <<http://statelibrary.dcr.state.nc.us/lsta/consultants.htm>>.

Grant applicants are encouraged to undertake the consultant selection process as early as possible. Consultant schedules sometimes fill up months in advance. If you have a place on a consultant's schedule you will be in a better position to begin your project promptly. However, **no contract can be signed with a selected consultant until grant agreements are signed by both library representatives and the State Librarian.**

1.9. What is the basis for selecting projects for funding?

There are three factors that determine whether a library's application is eligible for consideration:

- The application must be **received** by the deadline.
- The project must be designed to assist a library in activities aimed at preparing an application for **one** of the following LSTA grant programs: Library Outreach Services Grant, NC ECHO Digitization Grant, or Technology Grant.
- The library must be eligible to apply for the grant for which they want to plan.

More information about these grant programs, including eligibility, is available at <<http://statelibrary.dcr.state.nc.us/lsta/2008-2009Grants.htm>> for 2008-2009 grant programs.

Before a library can receive funding, the State Library must determine that any selected consultant has appropriate qualifications for the planning project.

The following factors and criteria will be used to determine priority for funding among the eligible applications.

I. Need

Applicants must demonstrate that they understand both the grant program and the issues they must resolve before they are ready to submit an application for a full grant. Reviewers will expect to see a clear statement of the applicant's current level of readiness as well as where they need to be in order to complete an application for the specified grant program. In other words, there must be a lucid articulation of why/how they are not yet ready to apply for the specified grant program.

In addition to the clarity of the need, reviewers will be evaluating the level or extent of need in establishing priorities for funding.

II. Appropriateness of Proposed Planning Activities

The appropriateness of the proposed planning activities to the library and the grant program will be another factor in determining the LSTA Project Planning Grant recipients. Reviewers will assess factors such as:

- conformity between the library's mission and proposed planning activities;
- proposed methodology and its suitability for the proposed project;
- consultant role, qualifications, and/or criteria for selection; and
- involvement of suitable partners.

III. Readiness

Evaluation of a library's readiness to carry out a planning process will be multifaceted, considering a series of questions:

- Do the proposed activities reflect an understanding of the grant program's requirements?
- Has the library identified the issues that must be resolved by the planning process?
- Is the library willing to devote adequate time for staff and appropriate members of the community (trustees, local government officials, etc.) to participate in the planning activities, including providing any consultants with background information?
- If the process is a collaborative one, are the partners identified and willing to be fully involved in the planning process?

See Section 2.1 for additional factors and issues that may be taken into account in the review of all grant proposals and selection of applications for funding.

1.10. For further information about this grant program:

Questions about the LSTA Project Planning Grants should be directed to Penny Hornsby, Federal Programs Consultant, Library Development Section, State Library of North Carolina, at 919-807-7420 or <penny.hornsby@ncmail.net>.

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2. GENERAL INFORMATION & GUIDELINES

2.1. What is the basis for selecting projects for funding?

In addition to the criteria and priorities listed in Section 1 of the Information & Guidelines for each LSTA grant program, the following criteria also apply:

I. Ability to Pay and Local Effort

In awarding LSTA grants to North Carolina libraries, two additional factors will serve as measures of institutional need if all other factors are equal in the review of a group of grant proposals. They are:

- **Ability to pay:** The relative resources available to fund library services from local government or within an academic institution—that is, the per capita local tax base or the per FTE institutional resources will be used as a measure of ability to pay for services locally, and
- **Local effort:** The relative local effort in supporting library services—that is, per capita support of a public library or, for academic libraries, the library operating expenditures as a percentage of the Educational and General Expenditures for the academic institution, or, for a school library, the per capita support or the library operating expenditures as a percentage of the general expenditure for the school.

The data used by State Library staff and reviewers to determine ability to pay and local effort is updated annually. Data for the current year is available at <http://statelibrary.dcr.state.nc.us/lsta/financialfactors0708.htm>.

II. Applicant's LSTA Grant History

Two other issues may be taken into consideration in selecting applications for funding:

- the quality and effectiveness of the applicant's management of prior LSTA grants, and
- if requests exceed available funds, the number and type of grants that a library has received over the life of LSTA and their total dollar value. This will help ensure that more libraries have the opportunity to benefit from LSTA grant funds.

2.2. Do you need a planning grant?

A library may determine that additional planning is needed before they are ready to apply for a grant. If so, a preliminary step may be to apply for one of the LSTA planning grants. These grants, which have no matching requirement, provide some funds to assist with costs of planning activities. There are three categories of planning grants.

- **LSTA Project Planning Grants** – to help libraries get ready to apply for specific LSTA grant programs, providing funds to carry out needs assessments; build collaborative partnerships and develop project plans; assess archival and special collections and create plans for digitizing them.
- **Planning Grants** – general planning for programs and services, process analysis, a building program or library space utilization study.
- **Technology Planning Grants** – developing a comprehensive technology plan, planning for a new or upgraded automated library system, including development of an RFP.

The State Library offers two cycles for its suite of planning grants. A mid-year 2007-2008 grant (application due November 15, 2007) would allow a library to complete planning activities between January and July 2008 in time to file a Letter of Intent (LOI) in November 2008 for a 2009-2010 Project grant. If the Letter of Intent is successful, the library may submit a full application in late February 2009 for a project that would begin in July 2009.

Information (guidelines and applications) for mid-year planning grants can be found under "2007-2008 LSTA Grant Programs" at <http://statelibrary.dcr.state.nc.us/lsta/2007-2008Grants.htm>.

A library applying and funded for a planning grant in the regular cycle (2008-2009 applications due February 21, 2008) would have an allowable planning period of one year, beginning July 2008. With a regular cycle planning grant a library could potentially meet the November 2008 LOI deadline for a 2009-2010 Project grant, however the planning time is likely to be more compressed. A library must consider its own circumstances and capabilities to determine the most appropriate course of action.

A library may not receive the relevant planning grant and the Project grant for which they planned, in the same grant year.

2.3. What is the application and review process?

For Project grant programs (i.e., programs REQUIRING a Letter of Intent):

Project grant programs for **2008-2009** include: Library Outreach Services; NC ECHO Digitization; Technology.

The grant process for Project grant programs has two steps aimed at saving time and other resources for libraries that are interested in applying for some of the more complex grant programs. It allows the library to determine whether its project concept is eligible and/or competitive.

- Step #1: Letter of Intent: A library interested in applying for a Project grant must submit by November 15, 2007 a Letter of Intent (LOI) explaining the proposed project. (The Letter of Intent is a brief application form found at <http://statelibrary.dcr.state.nc.us/lsta/2008-2009Grants.htm> .

The LOI will be used to determine whether the library is proposing a project that meets the criteria of the grant program. State Library staff and the LSTA Advisory Committee review the Letters of Intent and the LSTA Advisory Committee determines which libraries are authorized to submit a full application. Libraries will be notified of authorization by December 19, 2007.

For multiyear projects, the Letter of Intent must identify the intention to apply as a multiyear grant. The LOI must also identify activities that will occur over the life of the project and estimate a budget for the entire project.

- Step #2: Full Grant Application: Those libraries that receive authorization are invited to submit a full application with a project plan and budget. Full applications are due February 21, 2008.

For multiyear projects, the full application must include an action plan and timeline for all proposed years, including milestones or checkpoints to demonstrate progress for the full project; an estimated budget for all the years of the project; and, as appropriate, a plan for sustainability.

- To be eligible for review, full grant applications must be received in the State Library's Library Development Section Office (Room 310A, Archives & State Library Building) by 5:00 p.m. February 21, 2008.
- Only **complete** applications from eligible institutions (those authorized to submit a full application) will be reviewed.

- Eligible applications will be reviewed and evaluated by State Library staff and outside peer reviewers, according to the grant program criteria. The LSTA Advisory Committee will consider the applications in conjunction with reviewer evaluations and make recommendations to the State Librarian regarding funding.
- Since the LSTA Advisory Committee reviews all LSTA Project grants and makes funding recommendations, no appeal is available.
- Announcement of funded applications will be posted to the State Library's LSTA web site (<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>) by the June award announcement date.
- No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):

EZ Programs for the **Mid-year Cycle 2007-2008** include: **LSTA Project Planning**; Planning; and Technology Planning.

- To be eligible for review, grant applications must be received in the State Library's Library Development Section Office (Room 310A, Archives & State Library Building) by 5:00 p.m. November 15, 2007.
- Only **complete** applications from eligible institutions will be reviewed.
- Eligible applications will be reviewed and evaluated by State Library staff according to the grant program criteria. State Library Senior Management will make final decisions.
- Procedures for EZ grants allow for appeals of funding decisions. Awards are not final until the appeals process is completed.
- Announcement of funded applications will be posted to the State Library's LSTA web site (<http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>) by the December award announcement date.
- No project funds (grant or matching dollars) may be encumbered or expended until library representatives and the State Librarian sign the grant agreement.

2.4. How are grant payments made?

- **Grant funds are paid on a reimbursement basis. Libraries pay project expenses using local funds, and are then reimbursed for *actual* documented expenses up to the grant amount awarded.**
- **For Mid-year cycle grants: July 31, 2008, is the date by which all project funds (grant and matching) must be spent.**
- Grant payments will only be made for expenses incurred after a library is awarded a grant and library representatives and the State Librarian have signed the grant agreement.
- Grantees must submit requests for reimbursement once a quarter, at a minimum. Regular reimbursements ensure an even flow of grant payments.

- For Mid-year cycle grants: By the postmark date of April 15, 2008, a minimum of twenty-five percent (25%) of the grant amount must be requested for reimbursement. Requests received by this date will be paid by June 30, 2008.
- For Mid-year cycle grants: **August 15, 2008 is the final postmark deadline** for submitting grant reimbursement requests. The State Library will complete all payments by September 15, 2008.

For grant programs that allow purchase of computer equipment:

The State Library understands that costs of computer equipment change rapidly. If proposed equipment is purchased for less than the grant award amount, the library must obtain State Library approval to use the balance of the grant funds. The State Library does not guarantee approval for additional purchases in order that all grant funds can be used.

2.5. What reports must grantees make?

As part of the evaluation process for LSTA grant programs, all grant recipients must complete a report on their grant-funded project. It will be due to the State Library by September 30, 2008. The report will include a summary of grant expenditures, review of the project's accomplishments and descriptions of outcomes/benefits for users. The State Library will provide a form for the grant report.

To help you develop your plan for evaluation and reporting, please review the type of report you will have to provide. The 2006-2007 online report form may be found at <http://statelibrary.dcr.state.nc.us/lsta/report0607.htm>.

Non-profit / non-governmental grantees must comply with the requirements of North Carolina General Statute 143C-6-23 "State grant funds: administration; oversight and reporting requirements;" the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants;" and the applicable requirements in the Office of the State Auditor's Audit Advisory ADV-2005-001 September 2005, including submission of required financial reports within six months (or nine months for \$500,000 threshold) of the end of the Library's fiscal year(s) in which grant funds are received. See detailed information on the State Auditor's web site: <http://www.ncauditor.net/NonProfitSite/nphome.aspx>.

2.6. What do I need to know about CIPA?

Every library that submits an application for funding to the State Library must include the appropriate Children's Internet Protection Act (CIPA) certification documents as part of its application package. This applies to all grant applicants—no matter what type of library or what type of grant.

Additional information on CIPA, with guidelines and all required forms, is available at <http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>.

2.7. What else do applicants need to know?

Because these grants are from federal funds administered through a state agency, all grantees must adhere to required federal and state provisions. (See **Grant Provisions**, Section 3.) Please read these carefully.

2.8. Grant program timeline:

For Project grant programs (i.e., programs REQUIRING a Letter of Intent)

Programs for **2008-2009** include: Library Outreach Services; NC ECHO Digitization; and Technology.

IMPORTANT NOTE: Applicants funded for a 2007-2008 **Mid-year Cycle** planning grant can prepare to apply for a 2009-2010 Project grant, but the 2008-2009 grant calendar will not allow an opportunity to apply for a 2008-2009 Project grant. Deadlines for 2009-2010 grants are expected to be similar to those below for 2008-2009 grants.

The following deadlines apply to **2008-2009** Project grant programs.

November 15, 2007	Letters of Intent due by 5:00 p.m. *
December 19, 2007	Approved Letters of Intent notified; applications available
February 21, 2008	Full applications for 2008-2009 projects due by 5:00 p.m. *
June 12, 2008	Announcement of funded 2008-2009 projects
July 2008 – June 30, 2009	Grant project implementation and expenditure period for 2008-2009 projects
October 15, 2008	Postmark deadline for first grant reimbursement request
January 15, 2009	Postmark deadline for second grant reimbursement request
April 15, 2009	Postmark deadline for third reimbursement request; a minimum of 75% of grant amount must be requested by this deadline
June 30, 2009	Date by which all project funds must be spent
July 15, 2009	Final postmark deadline to submit grant reimbursement request
August 31, 2009	State Library completes grant payments
September 30, 2009	Final report due to State Library

* Must be **received** in the State Library's Library Development Section Office, Room 310A, Archives & State Library Building.

For EZ grant programs (i.e., programs NOT requiring a Letter of Intent):

EZ Programs for the **Mid-year Cycle 2007-2008** include: **LSTA Project Planning**; Planning; and Technology Planning.

The following deadlines apply to the **Mid-year Cycle 2007-2008** EZ grants.

October 2007	Mid-year Cycle planning grant guidelines and applications available (3 categories). See "2007-2008 LSTA Grant Programs" at http://statelibrary.dcr.state.nc.us/lsta/2007-2008Grants.htm
November 15, 2007	Applications due by 5:00 p.m. *
December 19, 2007	Announcement of funded projects
January 2007 – July 31, 2008	Grant project implementation and expenditure period for 2007-2008 Mid-year cycle planning grant projects
April 15, 2008	Postmark deadline for reimbursement requests to be paid in FY07-08; a minimum of 25% of grant amount must be requested by this deadline. Also due: estimate of any grant balance that will be claimed after June 30.
July 31, 2008	Date by which all mid-year cycle project funds must be spent
August 15, 2008	Final postmark deadline to submit grant reimbursement request
September 15, 2008	State Library completes grant payments
September 30, 2008	Final report due to State Library

* Must be **received** in the State Library's Library Development Section Office, Room 310A, Archives & State Library Building.

2.9. Instructions for preparing and collating your application:

Your application is one of many that reviewers will read. Following these instructions will make it easier for reviewers to read and evaluate your proposal:

- Use an 11-point font size or greater and margins at least 1" on all sides. Concise wording is best.
- Use a header or footer, with a single page numbering system, throughout the whole document except for the cover signature page. Handwritten page numbers on attachments are acceptable.
- When using attached sheets to answer questions, repeat the question and question number from the application form, but do not repeat explanatory information.
- Any supplemental information or attachments should follow the completed application form.
- If you append any material not specifically requested in the application, be judicious in how much you include. Provide extracts of long documents. Reviewers can pay more careful attention to applications that are concise and supporting materials that are directly relevant.
- Copy your pages front and back if possible, on plain white paper.
- Staple application in upper left corner, with signature page on top. Do not bind or include a cover letter.
- Be sure to enclose 1 original of the required CIPA certification forms in your application package. No additional copies are required.

2.10. Where do I apply?

Send completed applications to the address below. All applications must be received in the State Library's Library Development Section Office (Room 310A, Archives & State Library Building) by 5:00 p.m. on November 15, 2007.

Send

- **one** (1) original of your application with certifying signatures in blue ink,
- **one** (1) signed original of each document specified by the *CIPA Certification Guidelines for LSTA Grant Applicants* (<<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>),
- **plus** the number of copies specified in the table below (excluding CIPA documents).

Grant Program	Application with original signatures in blue ink + CIPA Checklist (& Certification if required) <i>Include CIPA document(s) with original application only; do not make copies.</i>	Copies of application (in addition to the original signed in blue ink) <i>Do not include CIPA document(s).</i>
EZ Grants		
LSTA Project Planning	1	15
Planning	1	15
Technology Planning	1	15

Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. November 15, 2007 deadline.

To assure on-time receipt by the State Library, applicants are strongly encouraged to use a commercial service and the Jones Street address. Packages sent via US Postal Service and Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the

US Postal Service does **not** deliver to the Jones Street address. Any application not received by the deadline will not be eligible for consideration.

Delivery by commercial service (e.g. FedEx, UPS), or hand delivery: RECOMMENDED	Delivery by US Postal Service:
LSTA Grant Applications	LSTA Grant Applications
Library Development Section, Room 310A	Library Development Section
State Library of North Carolina	State Library of North Carolina
Archives & State Library Building	4640 Mail Service Center
109 E. Jones Street	Raleigh NC 27699-4640
Raleigh NC 27601	

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GRANT PROVISIONS

The following state and federal provisions apply to the LSTA grant program. Libraries awarded grants must agree to comply with these provisions.

1. Grant Agreement and Timing of Expenditures

Official notification of the grant award must be received from the State Library and a grant agreement (formal agreement between the grantee and the State Library) signed by both the representatives of the library and the State Librarian *before* any funds may be encumbered or expended for the project.

2. Allowable and Unallowable Costs

Grantees must carry out the grant project according to the approved grant proposal, and all federal funds must be expended solely for the purpose for which a grant was awarded.

The following costs are unallowable and may not be proposed as grant project costs: bad debts, contingencies, contributions and donations, entertainment, fines and penalties, under recovery of costs under grant agreements (excess costs from one grant agreement are not chargeable to another grant agreement).

3. Legal and Regulatory Compliance

Grantees must expend grant funds in accordance with all applicable local, state, and federal laws and regulations.

4. Budget Revisions and Programmatic Changes

Grantees must not deviate from the approved budget and plan for carrying out the grant project as contained in the approved grant application unless prior approval is obtained from the State Library.

5. Records Retention

Grantees must maintain adequate financial records to ensure complete reporting, and retain programmatic and financial records relating to the grant for a minimum of five years from the due date of the final grant report, or until all audit exceptions have been resolved, whichever is longer.

6. Free and Open Competition

Purchases made from grant funds must be carried out to ensure free and open competition to the extent possible. Libraries eligible to purchase under state contract may use this option for grant purchases.

7. Debarment & Suspension

Transactions for the purposes of this grant will not knowingly be made with parties who have been debarred or suspended from receiving Federal financial assistance under Federal programs and activities (Debarment and Suspension Certification).

8. Equipment and Inventory

Equipment with unit price above \$500 purchased with grant funds must be labeled as purchased with LSTA funds and listed on biennial inventory reports requested by the State Library. If fair market value at the time of surplus or disposal exceeds \$5,000, disposal must be cleared with the State Library.

9. Publicizing & Acknowledging Funds

Grantees are required to credit IMLS/LSTA in all related publications and activities in conjunction with use of the grant funds. Grantees should publicize grant-supported activities in available and appropriate media.

The following acknowledgement statement must be used when meeting these requirements: "This publication/activity/program/etc) was supported by grant funds from the Institute of Museum and Library Services under the provisions of the federal Library Services and Technology Act as administered by the State Library of North Carolina, a division of the Department of Cultural Resources." Copies of any publications or materials produced under the grant must be submitted to the State Library.

10. Lobbying

Grantees are prohibited by federal law from using grant funds to pay costs associated with lobbying Congress or the public for purposes of influencing elections, legislation, or the award of any federal funds. Grantees receiving an award of over \$100,000 must file a certification regarding lobbying.

11. Non-discrimination

All library services provided as a result of the federal grant funds must be available without discrimination to all members of the community served. Participation may not be denied on the basis of race, color, national origin, handicap, age, or sex. Relevant legislation includes but is not limited to the following: Title VI of the Civil Rights Act of 1964 (P.L. 88-352); Section 504 of the Rehabilitation Act of 1973, as amended (42 U.S.C. §§6101-6107); Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686); the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107); the Americans with Disabilities Act of 1990.

12. Audit and Financial Reporting Requirements

LSTA grants must be audited in compliance with federal and state audit requirements for local governments and public authorities, institutions of higher education, and non-profit organizations. The following source documents outline the standards and requirements:

- United States Office of Management and Budget: (OMB) Circular A-133 - Audits of States, Local Governments, and Non-Profit Organizations.
- North Carolina General Statute 143C-6-23 "State grant funds: administration; oversight and reporting requirements," and the corresponding rules of North Carolina Administrative Code, Title 09, Chapter 03M, "Uniform Administration of State Grants."

LEGAL REFERENCES:

- 2 CFR 220 - Cost Principles for Educational Institutions (formerly OMB Circular A-21)
- 2 CFR 225 - Cost Principles for State, Local, and Indian Tribal Governments (formerly OMB Circular A-87)
- 2 CFR 230 - Cost Principles for Non Profit Organizations (formerly OMB Circular A-122)
- 45 CFR 1110 - Nondiscrimination in Federally Assisted Programs
- 45 CFR 1170 - Nondiscrimination on the Basis of Handicap in Federally Assisted Programs and Activities
- 45 CFR 1183 - Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments
- 45 CFR 1185 - Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants)
- OMB Circular A-102 – Grants and Cooperative Agreements with State and Local Governments
- OMB Circular A-110 – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations

State Library of North Carolina - Library Services and Technology Act

**EZ LSTA PROJECT PLANNING GRANT
2007-2008 / Mid-year Cycle
Application**

DUE DATE: *Original and 15 copies must be received by 5:00 p.m. November 15, 2007, in the Library Development Section Office, Room 310A.*

INSTITUTION/ LIBRARY: _____

MAILING ADDRESS: _____

U.S. CONGRESSIONAL DISTRICT (in which library is located): _____

PROJECT MANAGER, NAME / TITLE: _____

PHONE: _____ **FAX:** _____ **E-MAIL:** _____

GRANT AMOUNT REQUESTED (whole dollars only): _____ **\$**
(grant request maximum \$15,000; minimum \$1,000)

PLANNING FOR: ☐ Library Outreach Services Grant
 ☐ NC ECHO Digitization Grant
 ☐ Technology Grant

ABSTRACT: Provide a brief abstract of your project in the space below. See instructions on the following page.

CERTIFICATION AND SIGNATURES:

We are aware of, and agree to comply with, all state and federal provisions and assurances required under this grant program. If awarded grant funds, we assure that we will carry out the grant project according to the approved grant proposal. This application has been authorized by the appropriate authorities of the applying institution/library.

Printed name of library director / media coordinator

Printed name & title of local government or
institutional authorizing official

Signature, Library Director / Media Coordinator

Signature, above official

Date

Date SLNC 10/07

ABSTRACT INSTRUCTIONS:

The abstract should **clearly and concisely** summarize your project. The abstract must not exceed the space available on the signature page (page 1). The abstract should only include information that is in the body of the proposal.

INSTRUCTIONS FOR PREPARING AND COLLATING YOUR APPLICATION:

Refer to Section 2.9 of the *Information & Guidelines*.

It is critical that you review the grant program Information & Guidelines before completing this application.

1. PROJECT DESCRIPTION:

Use a separate sheet to outline a simple narrative response to the following questions about your proposed planning effort. Keep in mind the project planning grant criteria as you respond.

a. LSTA Project Grant

What LSTA grant program will you be planning for? Why are you interested in that grant program? How are the potential new services or resources you hope to develop consistent with your library's mission and strategic plans?

b. Need

Explain why you need an LSTA Project Planning Grant.

- What issues do you need to resolve in the planning project?
- How did you identify these issues?
- Why is the process you are outlining for your planning project the best approach to resolving those issues?
- How will this help you prepare to apply for a full LSTA grant?

c. Planning Grant Objective(s) / Outcome(s)

In addition to being ready to apply for a full LSTA grant, what results/outcomes will you look for when planning activities are completed? Describe any testing or evaluation of concepts that you expect to occur during this planning project. Libraries planning for an NC ECHO Digitization Grant should expect the results of the Project Planning Grant to address both content and process for the intended project.

d. Project Partners

- Describe your plans to work with other libraries, agencies and/or community organizations as partners in your planning project. If you have chosen not to work with partners in your planning and/or you do not expect to propose a collaborative project, please explain why.
- Describe how you will involve others in the community (e.g. trustees, community leaders, and/or local government, school or campus officials) in your planning effort.

e. Action Plan

- Create a timeline that lists the sequence of projected activities with anticipated completion dates. The timeline should be prepared in consultation with any consultant(s) and partner(s). Remember to accommodate the local institutional approval process and the grant program deadlines.
- Outline the library's plan for providing adequate time for staff to participate in the planning process and, if you are planning to hire a consultant, to assist the consultant with background information.

2. PROJECT CONSULTANT AND OTHER PERSONNEL:

- a.** If you are proposing to hire a consultant, describe the role and key responsibilities of the consultant.
- b.** Provide the following information about the consultant(s) chosen to assist you:
- Name and address of the consulting firm.
 - Name and title of each individual in the consulting firm who will carry out the project, the minimum number of hours each will dedicate to the project, and the number of onsite visits that the consulting firm will make.
 - Describe the consultant's previous experience and why it makes the person the appropriate choice to assist you with your project.
 - Attach a document from the proposed consultant that delineates how the costs for services will be calculated, including but not limited to projected hours/days of work, fees, travel expenses, and other project related expenditures.
- c.** Describe the role and responsibility of any other personnel that you propose to hire to assist with the project planning, and the qualifications that you will seek.

3. BUDGET WITH ESTIMATED PROJECT EXPENDITURES:

a. BUDGET TABLE

Complete the budget table to provide the estimated costs required to carry out the project.

b. BUDGET NARRATIVE

Provide a clear explanation of each expenditure included in your budget—its purpose, how you arrived at the amount, and any other information that will help reviewers understand how you will be spending money in support of the project's objectives and action plans.

Attach a document from the proposed consultant that delineates how the consultant costs will be calculated, e.g. costs for personnel, travel, meals, document production, etc. (If the consultant's rates are inclusive of expenses such as mileage, this should be clearly noted.)

Do not include this instruction page with your application.

3.a. BUDGET TABLE

EXPENDITURE CATEGORY	LSTA	LOCAL (if any)	TOTAL
A. Temporary Staff Wages and Benefits			
	\$ _____	\$ _____	\$ _____
	_____	_____	_____
	_____	_____	_____
Subtotal	_____	+	= _____
B. Consulting Fees			
	\$ _____	\$ _____	\$ _____
	_____	_____	_____
Subtotal	_____	+	= _____
C. Supplies			
	\$ _____	\$ _____	\$ _____
	_____	_____	_____
Subtotal	_____	+	= _____
D. Postage			
	\$ _____	\$ _____	\$ _____
	_____	_____	_____
Subtotal	_____	+	= _____
E. Printing			
	\$ _____	\$ _____	\$ _____
	_____	_____	_____
Subtotal	_____	+	= _____
F. Travel Costs			
	\$ _____	\$ _____	\$ _____
	_____	_____	_____
Subtotal	_____	+	= _____
G. Other Expenditures (specify)			
	\$ _____	\$ _____	\$ _____
	_____	_____	_____
Subtotal	_____	+	= _____
H. TOTAL A through G	\$ _____	+	= _____

4. CIPA CERTIFICATION AND COMPLIANCE:

Every library that submits an application for funding to the State Library *must* include the appropriate CIPA certification document(s) as part of its application package. However, most libraries will not be subject to CIPA compliance as a result of receiving LSTA funds.

Applicants should *carefully* read the CIPA Certification Guidelines for LSTA Grant Applicants (<<http://statelibrary.dcr.state.nc.us/lsta/certguidelines07.pdf>>) to determine what document(s) to submit. Submit only ***one*** original of each required document with the application.

Those interested in compliance information should read the LSTA CIPA Compliance Information document at <<http://statelibrary.dcr.state.nc.us/lsta/compliance07.pdf>>. A single web page with these links is at <<http://statelibrary.dcr.state.nc.us/lsta/cipa.htm>>.

If you have questions regarding CIPA certification and compliance, please contact Grant Pair at <grant.pair@ncmail.net> or 919-807-7408.

Do not include this instruction page with your application.

APPLICATION CHECKLIST: A complete application package will include:

- _____ Application signature page signed by appropriate persons.
- _____ Complete proposal that responds to every required section of the application.
- _____ Complete budget table, with figures that add up correctly.
- _____ Budget narrative.
- _____ **1 original application** with certifying signatures **in blue ink, plus 15 copies** (16 total).
- _____ **1 original** of the required **CIPA** certification form(s).

SUBMISSION & FORMAT INSTRUCTIONS: Make sure that your application is prepared according to the recommended format. Refer to instructions in Section 2.9 of the *Information & Guidelines*.

DELIVERY INFORMATION:

DUE DATE: The complete application package must be received by 5:00 p.m. November 15, 2007 in the Library Development Section Office, Room 310A.

Delivery by commercial service (e.g. FedEx, UPS), or hand delivery: RECOMMENDED	Delivery by US Postal Service:
LSTA Grant Applications Library Development Section, Room 310A State Library of North Carolina Archives & State Library Building 109 E. Jones Street Raleigh NC 27601	LSTA Grant Applications Library Development Section State Library of North Carolina 4640 Mail Service Center Raleigh NC 27699-4640

Warning: To be considered, applications must be received in the Library Development Office by the 5:00 p.m. November 15, 2007 deadline.

To assure on-time receipt by the State Library, applicants are strongly encouraged to use a commercial service and the Jones Street address. Packages sent via US Postal Service and Mail Service Center address (even Express Mail) frequently encounter delivery delays, and the US Postal Service does **not** deliver to the Jones Street address. Any application not received by the deadline will not be eligible for consideration.

Do not include this instruction page with your application.